

# DEPARTMENT OF THE NAVY (DON) INTERIM PERFORMANCE APPRAISAL FORM

## PRIVACY ACT STATEMENT

**AUTHORITY:** 5 U.S.C. Chapter 43 Performance Appraisal and SORN DPR 34.

**PURPOSE(S):** The information requested is used for performance planning and results reporting documentation requirements for the DON Interim Performance Management System for positions transitioned from NSPS to GS.

**ROUTINE USES:** The information provided in this form will only be accessed by command personnel with a defined need to know for the purpose of meeting the requirements of the DON Interim Performance Management System.

**DISCLOSURE:** Voluntary; however failure to provide the information requested may impede, delay or prevent further processing.

## SECTION 1 - PERFORMANCE PLAN

### PART A - ADMINISTRATIVE DATA

<b>1. APPRAISAL PERIOD:</b>		<b>a. START DATE:</b> 01 Oct 2012	<b>b. END DATE:</b> 30 Sep 2013
<b>2. EMPLOYEE NAME (Last, First, Middle Initial):</b> Robin Patterson		<b>3. EMPLOYEE ID:</b> XXXX-XX (b) (6)	
<b>4. POSITION TITLE:</b> Head, DON PA/FOIA Policy Office		<b>5. GENERAL SCHEDULE (GS) GRADE AND STEP:</b> GS-15	
<b>6. ORGANIZATION:</b> OPNAV CNO DNS-36			

### PART B - PERFORMANCE PLAN DOCUMENTATION

<b>1. POSITION DESCRIPTION CERTIFICATION</b> (to be completed by Rating Official)	<input checked="" type="checkbox"/> I certify that the employee's position description (PD) is current and accurate
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**2. PLAN DOCUMENTATION**

The following signature blocks document the required steps in the appraisal process. The Performance Plan column must be filled in upon initial development of the performance plan. Should any changes to the plan be made during the appraisal period, the Adjusted Elements column(s) on Page 2 will be filled in to reflect the information at the time of the change. The Progress Review column must be filled in upon completion of the required Progress Review. The Annual Assessment column must be filled in upon completion of the required Annual Assessment at the end of the appraisal period. Should a Close-out Assessment be required, the Close-out Assessment column(s) on Page 2 will be filled in to reflect the information at the time of the Close-out Assessment.

Once Senior Rating Official approves each part, fields in the part will be locked for further editing.

	PERFORMANCE PLAN	PROGRESS REVIEW	ANNUAL ASSESSMENT
<b>MEANS OF DELIVERY:</b>	Face-to-Face	Face-to-Face	Face-to-Face
<b>RATING OFFICIAL NAME, TITLE, ORGANIZATION:</b>	Zamberlan, Richard J. Director, DNS-3	Zamberlan, Richard J. Director, DNS-3	Zamberlan, Richard J. Director, DNS-3
<b>RATING OFFICIAL SIGNATURE:</b>	ZAMBERLAN RICHARD J. D.JAMES (b) (6)	ZAMBERLAN RICHARD J. D.JAMES (b) (6)	ZAMBERLAN RICHARD J. D.JAMES (b) (6)
<b>RATING OFFICIAL SIGNATURE DATE:</b>	26 Nov 2013	26 Nov 2013	26 Nov 2013
<b>SENIOR RATING OFFICIAL NAME, TITLE, ORGANIZATION:</b>			
<b>SENIOR RATING OFFICIAL SIGNATURE:</b>			
<b>SENIOR RATING OFFICIAL SIGNATURE DATE:</b>			
<b>Employee Signature Implies Acknowledgement And Does Not Constitute Agreement With Content</b>			
<b>EMPLOYEE SIGNATURE:</b>	PATTERSON ROBIN W (b) (6)		
<b>EMPLOYEE SIGNATURE DATE:</b>	25 Apr 2013		

	CLOSE OUT ASSESSMENT 1	CLOSE OUT ASSESSMENT 2	CLOSE OUT ASSESSMENT 3	ADJUSTED ELEMENTS 1	ADJUSTED ELEMENTS 2	ADJUSTED ELEMENTS 3
MEANS OF DELIVERY:						
RATING OFFICIAL NAME, TITLE, ORGANIZATION:						
RATING OFFICIAL SIGNATURE:						
RATING OFFICIAL SIGNATURE DATE:						
SENIOR RATING OFFICIAL NAME, TITLE, ORGANIZATION:						
SENIOR RATING OFFICIAL SIGNATURE:						
SENIOR RATING OFFICIAL SIGNATURE DATE:						
Employee Signature Implies Acknowledgement And Does Not Constitute Agreement With Content						
EMPLOYEE SIGNATURE:						
EMPLOYEE SIGNATURE DATE:						

**PART C - COMMAND USE**

## PART D - CRITICAL ELEMENT PERFORMANCE STANDARDS

A critical element performance standard is a general description of a level, requirement, or expectation of employee performance that must be met to be appraised at a particular level of performance. Performance standards are contained in Appendix C of the document Interim Performance Management System Covering Positions Transitioning to the General Schedule from NSPS and are defined by career stage - entry, journey, and expert. A single career stage will be used for all critical elements. The supervisory performance standard is used only for supervisory critical elements. Select the appropriate career stage below.

☐ Entry

☐ Journey

☒ Expert

Supervisory: Yes ☒ No ☐

### Expert - Acceptable

- Delivered on each critical element with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.
- Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.
- Demonstrated high standards of professional conduct and represented the organization or work unit effectively.

### Expert - Unacceptable

- Failed to achieve all or part of the stated critical element; or
- Failed in the accomplishment of priorities and coordination of work across projects, programs or people; consistently failed to balance work demands resulting in an untimely and unproductive product or event; or
- Demonstrated poor cooperation or inability to work with others.

### Supervisory - Acceptable

- Achieved expected results by effectively carrying out established supervisory responsibilities.
- Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership.
- Supported use of Alternative Dispute Resolution to resolve conduct and performance concerns at the lowest level and early timeframe to ensure the workplace provided a harmonious climate.
- Instituted measures to foster productivity and safety.
- Provided timely performance feedback at a minimum of two times during the performance cycle; took appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.

### Supervisory - Unacceptable

- Failed in the accomplishment of priorities and coordination across projects, programs, and people; consistently failed to balance work demands of employees resulting in untimely or unproductive products or events; or
- Failed to demonstrate adequate EEO and Affirmative Action awareness in areas of supervision and leadership; or
- Failed to support the use of Alternative Dispute Resolution to resolve conduct and performance concerns to ensure the workplace provides a harmonious climate; or
- Failed to provide timely performance feedback as required during the rating cycle or to take appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.

ADD ADJUSTED ELEMENTS		PART E - CRITICAL ELEMENTS
<p>Critical elements are work assignments, goals, objectives, or responsibilities of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is unacceptable. A critical element must be sufficiently specific in nature so as to be understandable by the employee and assessable by a rating official, be comprehensive enough to span the entire rating period or a substantial portion thereof, and must be commensurate with the employee's grade, experience, and position requirements. A performance plan must have a minimum of two, but generally between three and five critical elements, that address individual expectations and goals.</p>		
CRITICAL ELEMENT 1	TITLE: MANAGE DON FOIA PROGRAM	
<p>Effectively manages the DoN's FOIA Program while providing guidance to FOIA officers, program managers, attorneys, members of the press, public, and congressional staffs on the processing of over 17,000 FOIA requests per year for information. Plan to reduce FOIA backlog by 10% is implemented and status reports provided to DoD as required. Content of FOIA web site is evaluated and changes made to improve use by all.</p> <p>Satisfactory fulfillment of this objective results in a continuity of operations. Web site content is evaluated and changes made.</p>		
CRITICAL ELEMENT 2	TITLE: MANAGE DON PRIVACY PROGRAM	
<p>Effectively manages the DON's Privacy Act Program while promoting a strong DON-wide Privacy Program. Conducts overview of all Navy PA systems of records, identifying new collection requirements and updating/amending those that have been identified as necessary. Reviews content of PRIVACY web site, <a href="http://privacy.navy.mil">http://privacy.navy.mil</a>. Provide training and advice to Navy staff. Satisfactory fulfillment of this objective results in continuity of operations; updating of 30% of PA systems of records; revision of web site to improve content; training products provided to the field for use and advice given to field within 24 hours.</p>		
CRITICAL ELEMENT 3	TITLE: Supervisory	
<p>Execute the full range of human resources (including performance management as outlined in DoD 1400.25-M, SC 1940.5.7.4.) and fiscal responsibilities within established timelines and in accordance with applicable regulations. Adhere to merit principles. Develop a vision for the work unit; align performance expectations with organizational goals. Maintain a safe work environment and promptly address allegations of noncompliance. Ensure EEO/EO principles are adhered to throughout the organization. Ensure continuing application of, and compliance with, applicable laws, regulations and policies governing prohibited personnel practices; promptly address allegations of prohibited discrimination, harassment, and retaliation.</p>		
CRITICAL ELEMENT 4	TITLE:	
CRITICAL ELEMENT 5	TITLE:	

**PART F - PROGRESS REVIEW**

At least one progress review will be completed for each employee during the appraisal period. At this time, the employee will be informed of how they are progressing with regard to their critical elements. Progress reviews do not require the assignment of a rating of record.

CRITICAL ELEMENT 1	TITLE: MANAGE DON FOIA PROGRAM
CRITICAL ELEMENT 2	TITLE: MANAGE DON PRIVACY PROGRAM
CRITICAL ELEMENT 3	TITLE: Supervisory
CRITICAL ELEMENT 4	TITLE:
CRITICAL ELEMENT 5	TITLE:

**EMPLOYEE SELF-ASSESSMENT**

(b)(6)

**RATING OFFICIAL ASSESSMENT**

(b)(6)

**ADD CLOSE OUT ASSESSMENT****PART G - CLOSE-OUT ASSESSMENT**

A close out assessment must be conducted when:

- (a) An employee completes a detail or temporary promotion of 120 days or longer under established critical elements; or
- (b) An employee changes positions, is promoted, or moves to a new agency/activity after being under established critical elements for a minimum of 90 days; or
- (c) The first-level supervisor leaves the position after the employee is under established critical elements for a minimum of 90 days. In this situation, the employee may continue under the same performance plan unless changed by the new supervisor.

<b>CRITICAL ELEMENT 1</b>	<b>TITLE: MANAGE DON FOIA PROGRAM</b>
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**EMPLOYEE SELF-ASSESSMENT****RATING OFFICIAL ASSESSMENT****CRITICAL ELEMENT 1 - INDIVIDUAL ELEMENT LEVEL:**

**PART G - CLOSE-OUT ASSESSMENT**

**CRITICAL ELEMENT 2** | **TITLE: MANAGE DON PRIVACY PROGRAM**

**EMPLOYEE SELF- ASSESSMENT**

**RATING OFFICIAL ASSESSMENT**

**CRITICAL ELEMENT 2 - INDIVIDUAL ELEMENT LEVEL:**

**PART G - CLOSE-OUT ASSESSMENT**

**CRITICAL ELEMENT 3**    **TITLE:** Supervisory

**EMPLOYEE SELF- ASSESSMENT**

**RATING OFFICIAL ASSESSMENT**

**CRITICAL ELEMENT 3 - INDIVIDUAL ELEMENT LEVEL:**

**PART G - CLOSE-OUT ASSESSMENT**

**CRITICAL ELEMENT 4**

**TITLE:**

**EMPLOYEE SELF- ASSESSMENT**

**RATING OFFICIAL ASSESSMENT**

**CRITICAL ELEMENT 4 - INDIVIDUAL ELEMENT LEVEL:**

**PART G - CLOSE-OUT ASSESSMENT**

**CRITICAL ELEMENT 5**

**TITLE:**

**EMPLOYEE SELF- ASSESSMENT**

**RATING OFFICIAL ASSESSMENT**

**CRITICAL ELEMENT 5 - INDIVIDUAL ELEMENT LEVEL:**

**PART H - ANNUAL ASSESSMENT**

To receive a rating of record, an employee must have performed for a minimum period of 90 days under an approved performance plan in the same position. If necessary, an employee's rating period may be extended by the rating official with approval from the senior rating official beyond the end of the rating period to allow for the 90-day minimum to be met, as long as the extension does not interfere with the ability to manage any part of the rating and rewarding process for the employee's organization.

**CRITICAL ELEMENT 1** | **TITLE: MANAGE DON FOIA PROGRAM**

**EMPLOYEE SELF- ASSESSMENT**

(b)(6)

**RATING OFFICIAL ASSESSMENT**

(b)(6)

**CRITICAL ELEMENT 1 - INDIVIDUAL ELEMENT LEVEL:**

(b)(6)

CRITICAL ELEMENT 2 | TITLE: MANAGE DON PRIVACY PROGRAM

EMPLOYEE SELF-ASSESSMENT

(b)(6)

RATING OFFICIAL ASSESSMENT

(b)(6)

CRITICAL ELEMENT 2 - INDIVIDUAL ELEMENT LEVEL:

(b)(6)

CRITICAL ELEMENT 3 TITLE: Supervisory

EMPLOYEE SELF-ASSESSMENT

(b)(6)

RATING OFFICIAL ASSESSMENT

(b)(6)

CRITICAL ELEMENT 3 - INDIVIDUAL ELEMENT LEVEL:

(b)(6)

PART H - ANNUAL ASSESSMENT	
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CRITICAL ELEMENT 4	TITLE:
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EMPLOYEE SELF-ASSESSMENT

	<b>CRITICAL ELEMENT 4 - INDIVIDUAL ELEMENT LEVEL:</b>
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**PART H - ANNUAL ASSESSMENT**

**CRITICAL ELEMENT 5**    **TITLE:**

**EMPLOYEE SELF- ASSESSMENT**

**RATING OFFICIAL ASSESSMENT**

**CRITICAL ELEMENT 5 - INDIVIDUAL ELEMENT LEVEL:**

**SECTION 2 - RATING OF RECORD****PART I - ANNUAL PERFORMANCE RATING OF RECORD**

CRITICAL ELEMENT	CRITICAL ELEMENT TITLE	INDIVIDUAL ELEMENT LEVEL
1	MANAGE DON FOIA PROGRAM	(b)(6)
2	MANAGE DON PRIVACY PROGRAM	(b)(6)
3	Supervisory	(b)(6)
4		
5		

**RATING OF RECORD** (If any one critical element is assigned "Unacceptable," then input "Unacceptable." Otherwise, input "Acceptable.")

(b)(6)

☐ Rating of Record based on Close-out Appraisal

**PART J - COMMAND USE**